

03-18-02

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PTO/SB/05 (03-01)

Approved for use through 10/31/2002. OMB 0651-0032

U.S. Patent and Trademark Office U.S. DEPARTMENT OF COMMERCE

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UTILITY  
PATENT APPLICATION  
TRANSMITTAL

Attorney Docket No.

NUFO029

First Inventor

MCDONALD

Title

TUNABLE EXTERNAL CAVITY LASER

Express Mail Label No.

EL852432839US

(Only for new nonprovisional applications under 37 CFR 1.53(b))

## APPLICATION ELEMENTS

SEE MPEP chapter 600 concerning utility patent application contents.

## ADDRESS TO:

Assistant Commissioner for Patents

Box Patent Application

Washington, DC 20231

1. ☒ Fee Transmittal Form (e.g., PTO/SB/17)  
(Submit an original and a duplicate for fee processing)

2. ☐ Applicant claims small entity status  
See 37 CFR 1.27.

3. ☒ Specification [Total Pages: 47]  
(preferred arrangement set forth below)

-Descriptive title of the invention  
-Cross Reference to Related Applications  
-Statement Regarding Fed sponsored R & D  
-Reference to sequence listing, a table,  
or a computer program listing appendix  
-Background of the Invention  
-Brief Summary of the Invention  
-Brief Description of the Drawings (if filed)  
-Detailed Description  
-Claim(s)  
-Abstract of the Disclosure

4. ☒ Drawing(s) (35 U.S.C. 113) [Total Pages: 20]

5. Oath or Declaration [Total Pages: 3]

- a. ☒ Newly executed (original or copy)  
b. ☐ Copy from a prior application (37 CFR 1.63 (d))  
(for continuation/divisional with Box 18 completed)

- c. ☐ DELETION OF INVENTOR(S)  
Signed statement attached deleting inventor(s)  
Named in the prior application, see 37 CFR  
1.63(d)(2) and 1.33(b)

6. ☒ Application Data Sheet See 37 CFR 1.76

7. ☐ CD-ROM or CD-R in duplicate, large table or  
Computer Program (Appendix)  
8. Nucleotide and/or Amino Acid Sequence Submission  
if applicable, all necessary)  
a. ☐ Computer Readable Form (CRF)  
b. Specification Sequence Listing on.  
i. ☐ CD-ROM or CD-R (2 copies); or  
ii. ☐ paper  
c. ☐ Statements verifying identity of above copies

## ACCOMPANYING APPLICATION PARTS

9. ☒ Assignment Papers (cover sheet & documents(s))  
10. ☐ 37 CFR 3.73(b) Statement ☒ Power of Attorney  
(when there is an assignee)  
11. ☐ English Translation Document (if applicable)  
12. ☐ Information Disclosure ☐ Copies of IDS Citations  
Statement (IDS)/PTO-1449  
13. ☐ Preliminary Amendment  
14. ☒ Return Receipt Postcard (MPEP 503)  
(Should be specifically itemized)  
15. ☐ Certified Copy of Priority Document(s)  
(if foreign priority is claimed)  
16. ☐ Nonpublication Request under 35 U.S.C. 122  
(b)(2)(B)(i). Applicant must attach form PTO/SB/35  
or its equivalent  
17. ☐ Other: \_\_\_\_\_

18. If a CONTINUING APPLICATION, check appropriate box, and supply the requisite information below and in a preliminary amendment,  
or in an Application Data Sheet under 37 CFR 1.76:

☐ Continuation ☐ Divisional ☒ Continuation-in-part (CIP) of prior application No.: 09/626,526

Prior application information. Examiner: E. Green Group Art Unit: 2881

For CONTINUATION OR DIVISIONAL APPS only: The entire disclosure of the prior application, from which an oath or declaration is supplied under  
Box 5b, is considered a part of the disclosure of the accompanying continuation or divisional application and is hereby incorporated by reference.  
The incorporation can only be relied upon when a portion has been inadvertently omitted from the submitted application parts.

## 19. CORRESPONDENCE ADDRESS

☒ Customer Number or Bar Code Label

24353

or ☐ Correspondence address below

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Name ROBERT C. HALL

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Name ROBERT C. HALL

Registration No. (Attorney/Agent)

39,209

Signature

Date March 15, 2002

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**FEE TRANSMITTAL  
for FY 2002**

Patent fees are subject to annual revision.

**Complete if Known**

|                      |                 |
|----------------------|-----------------|
| Application Number   | To Be Assigned  |
| Filing Date          | Herewith        |
| First Named Inventor | McDonald et al. |
| Examiner Name        | N/A             |
| Group Art Unit       | N/A             |
| Attorney Docket No.  | NUFO-029        |

TOTAL AMOUNT OF PAYMENT (\$)**1654.00****METHOD OF PAYMENT**

1. ☒ The Commissioner is hereby authorized to charge indicated fees and credit overpayments to:  
Deposit Account Number **50-0815**  
Deposit Account Name **Bozicevic, Field & Francis LLP**
- ☒ Charge Any Additional Fee Required  
Under 37 CFR 1.16 and 1.17
- ☐ Applicant Claims small entity status  
See 37 CFR 1.27

2. ☐ Payment Enclosed:  
☐ Check ☐ Credit Card ☐ Money Order ☐ Other

**FEE CALCULATION****2. BASIC FILING FEE**

| Large Fee Code | Entity (\$) | Small Fee Code | Entity (\$) | Fee Description        | Fee Paid |
|----------------|-------------|----------------|-------------|------------------------|----------|
| 101            | 740         | 201            | 370         | Utility filing fee     | 740.00   |
| 106            | 330         | 206            | 165         | Design filing fee      |          |
| 107            | 510         | 207            | 255         | Plant filing fee       |          |
| 108            | 740         | 208            | 370         | Reissue filing fee     |          |
| 114            | 160         | 214            | 80          | Provisional filing fee |          |

**SUBTOTAL (1)****1. EXTRA CLAIM FEES**

| Total Claims            | Extra Claims | Fee from below | Fee Paid |
|-------------------------|--------------|----------------|----------|
| 54 - 20** = 34          | x            | 18.00          | = 612.00 |
| Indep. Claims 6-3** = 3 | x 84.00      |                | = 162.00 |
| Multiple Dependent      |              |                |          |

| Large Fee Code | Entity (\$) | Small Fee Code | Entity (\$) | Fee Description  | Fee Paid |
|----------------|-------------|----------------|-------------|--|----------|
| 103            | 18          | 203            | 9           | Claims in excess of 20                                     |          |
| 102            | 84          | 202            | 42          | Independent claims in excess of 3                          |          |
| 104            | 280         | 204            | 140         | Multiple dependent claim, if not paid                      |          |
| 109            | 84          | 209            | 42          | ** Reissue independent claims over original patent         |          |
| 110            | 18          | 210            | 9           | ** Reissue claims in excess of 20 and over original patent |          |

**SUBTOTAL (2) \$ 874.00**

\*\*or number previously paid, if greater, For Reissues, see above.

**FEE CALCULATION (continued)****3. ADDITIONAL FEES**

| Large Fee Code | Entity (\$) | Small Fee Code | Entity (\$) | Fee Description  | Fee Paid |
|----------------|-------------|----------------|-------------|--|----------|
| 105            | 130         | 205            | 65          | Surcharge - late filing fee or oath  |          |
| 127            | 50          | 227            | 25          | Surcharge - late provisional filing fee or cover sheet                     |          |
| 139            | 130         | 139            | 130         | Non-English specification  |          |
| 147            | 2,520       | 147            | 2,520       | For filing a request for <i>ex parte</i> reexamination                     |          |
| 112            | 920*        | 112            | 920*        | Requesting publication of SIR prior to Examination action                  |          |
| 113            | 1,840*      | 113            | 1,840*      | Requesting publication of SIR after Examiner action                        |          |
| 115            | 110         | 215            | 55          | Extension for reply within first month                                     |          |
| 116            | 400         | 216            | 200         | Extension for reply within second month                                    |          |
| 117            | 920         | 217            | 460         | Extension for reply within third month                                     |          |
| 118            | 1,440       | 218            | 720         | Extension for reply within fourth month                                    |          |
| 128            | 1,960       | 228            | 980         | Extension for reply within fifth month                                     |          |
| 119            | 320         | 219            | 160         | Notice of Appeal   |          |
| 120            | 320         | 220            | 160         | Filing a brief in support of an appeal                                     |          |
| 121            | 280         | 221            | 140         | Request for oral hearing   |          |
| 138            | 1,510       | 138            | 1,510       | Petition to institute a public use proceeding                              |          |
| 140            | 110         | 240            | 55          | Petition to revive - unavoidable   |          |
| 141            | 1,280       | 241            | 640         | Petition to revive - unintentional   |          |
| 142            | 1,280       | 242            | 640         | Utility issue fee (or reissue)   |          |
| 143            | 460         | 243            | 230         | Design issue fee   |          |
| 144            | 620         | 244            | 310         | Plant issue fee  |          |
| 122            | 130         | 122            | 130         | Petitions to the Commissioner  |          |
| 123            | 50          | 123            | 50          | Processing fee under 37 CFR 1.17(q)  |          |
| 126            | 180         | 126            | 180         | Submission of Information Disclosure Stmt                                  |          |
| 581            | 40          | 581            | 40          | Recording each patent assignment per property (times number of properties) | 40.00    |
| 146            | 740         | 246            | 370         | For each additional invention to be examined (37 CFR § 1.129(a))           |          |
| 149            | 740         | 249            | 370         | For each additional invention to be examined (37 CFR § 1.129(b))           |          |
| 179            | 740         | 279            | 370         | Request for Continued Examination (RCE)                                    |          |
| 169            | 900         | 169            | 900         | Request for expedited examination of a design application                  |          |

Other fee (specify) \_\_\_\_\_

\*Reduced by Basic Filing Fee Paid

**SUBTOTAL (3) (\$)**40.00******SUBMITTED BY****Complete (if applicable)**

|                   |   |                                   |        |           |                |
|-------------------|---|-----------------------------------|--------|-----------|----------------|
| Name (Print/Type) | ROBERT C. HALL  | Registration No. (Attorney/Agent) | 39,209 | Telephone | (650) 327-3400 |
| Signature         |  |                                   |        | Date      | 03/15/2002     |

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